

4.1 PROCUREMENT DOCUMENT CONTROL

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Companywide

Program Requirements
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Manual: 13A-Quality and Requirements Management Program
DocumentsChange Number: 93936**1. PURPOSE**

This Program Requirements Document (PRD) identifies requirements and responsibilities to ensure that *procurement documents*, (see def.) and changes thereto, contain appropriate technical and *quality assurance* (QA; see def.) requirements. See Appendix A for requirements basis.

2. APPLICABILITY

This PRD applies to company organizations and employees involved in the processing of documents for the procurement of *items* (see def.) and *services* (see def.).

3. RESPONSIBILITIES**3.1 Cognizant Quality Engineer**

The *Cognizant Quality Engineer* (CQE; see def.) is responsible for:

- A. Reviewing and approving the quality provisions of purchases.
- B. Assuring that appropriate quality requirements and administrative controls for the specified items or services have been properly specified.

3.2 Technical Support Organization

The *Technical Support Organization* (see def.) is responsible for:

- A. Establishing the technical provisions of purchase requisitions.
- B. Assuring that appropriate technical requirements and administrative controls for the specified items or services have been properly specified.

3.3 Requesting Organization

Organizations requesting procurement of items or services are responsible for documenting the requirements for the specified items or services by providing requisite ordering information, and ensuring adequacy of the documentation used to initiate a procurement and any subsequent changes. The manager of the requesting organization has the responsibility to verify that any requisitions and any attached documents have been properly reviewed and approved and meet the requirements specified in this PRD for initiating a procurement.

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3.4 Procurement Organization

The procurement organization has the overall responsibility for defining the graded approach to procurement, developing and approving *procedures* (see def.) and documents that control the procurement quality *process* (see def.). The procurement organization is responsible for ensuring that requirements specified in the procurement documents are accurately transcribed into the final purchase document. It is responsible for solicitation and receipt of proposals and are the only company organization authorized to commit the company to contracts (purchase orders or contracts) for the acquisition of goods and services that involve the expenditure of programmatic funds.

3.5 Procurement Quality Organization

The procurement quality organization is responsible for:

- A. Ensuring quality requirements are adequately translated from procurement requisitions to purchase orders and contracts.
- B. Evaluating and qualifying of suppliers.
- C. Developing and controlling of inspection instructions for the acceptance of procured items.
- D. Performing source and receipt inspection.
- E. Performing supplier audits.

4. REQUIREMENTS**4.1 Companywide Applications**

The requirements identified in this subsection (4.1) apply to the entire company unless exempted by INT-17, QA PRD Introduction, Subsection 2.

4.1.1 Basic

- 4.1.1.1 Applicable *design bases* (see def.) and other requirements necessary to assure adequate quality shall be included or referenced in documents for procurement of items and services. [NQA-1-1997, Requirement 4, 100 1s]
- 4.1.1.2 To the extent necessary, procurement documents shall require *suppliers* (see def.) to have a QA program consistent with the applicable requirements of this document. [NQA-1-1997, Requirement 4, 100 2s]

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4.1.1.3 When deemed appropriate, the purchaser shall permit some or all supplier work to be performed under the purchaser's or another affected organization's QA program provided the work is adequately addressed. In these cases, procurement documents shall specify that the purchaser's or another organization's implementing documents are applicable to the supplier, and that the purchaser shall provide these applicable documents to them.

[DOE/RW-0333P 4.2.1.C.3.1s and 4.2.1.C.3.2s]

4.1.1.4 Procurement processes and controls shall include provisions for preventing the procurement of suspect and counterfeit items per the requirements of DOE Order 440.1A, Worker Protection Management for DOE Federal and Contractor Personnel. *[Company Imposed Requirement]*

4.1.1.5 Each procurement document issued for a facility or a basic component subject to 10 CFR 21 shall specify, when applicable, that the provisions of 10 CFR 21 apply. *[10 CFR 21.31]*

4.1.2 Procurement Document Contents

NOTE: *Also see PRD-5092, 19.1 Software Quality Assurance, for further requirements that apply to the procurement of computer software.*

Procurement documents issued at all tiers of procurement shall include provisions for the following, as deemed necessary by the *purchaser* (see def.), and identify the revision level or change status on each document. *[NQA-1-1997, Requirement 4, 200; DOE/RW-0333P 4.2.1 and 4.2.1.B.2.2s]*

Scope of Work

4.1.2.1 Procurement documents shall include a statement of the scope of work to be performed by the supplier. *[NQA-1-1997, Requirement 4, 201; DOE/RW-0333P 4.2.1.A]*

Technical Requirements

4.1.2.2 Technical requirements shall be specified in the procurement documents. These requirements shall be specified, as appropriate, by reference to specific drawings, specifications, codes, standards, regulations, procedures, or instructions, including revisions thereto, that describe the items or services to be furnished. *[NQA-1-1997, Requirement 4, 202 1s and 202 2s; DOE/RW-0333P 4.2.1.B and 4.2.1.B.2.1s]*

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- 4.1.2.3 The procurement documents shall identify appropriate *test* (see def.) , *inspection* (see def.), and *acceptance criteria* (see def.) for determining acceptability of the item or service. [NQA-1-1997, Requirement 4, 202 3s; DOE/RW-0333P 4.2.1.B.3]
- 4.1.2.4 QA program requirements shall be specified in procurement documents. These requirements shall be consistent with the importance and or complexity of the item or service being procured. [NQA-1-1997, Requirement 4, 203 1s and 203 2s; DOE/RW-0333P 4.2.1.C]
- 4.1.2.5 NQA-1 or other QA program requirements invoked for procurements subject to DOE/RW-0333P shall be evaluated and verified to meet or exceed the applicable requirements of DOE/RW-0333P. [Company Imposed Requirement]
- 4.1.2.6 The procurement documents shall require the supplier to incorporate the appropriate QA requirements in subtier procurement documents. [NQA-1-1997, Requirement 4, 203 3s]
- 4.1.2.7 QA requirements shall include provisions for establishing hold points beyond which work cannot proceed without purchaser authorization. [DOE/RW-0333P 4.2.1.E]

Right of Access

- 4.1.2.8 The procurement documents shall provide for access to the supplier's and subtier supplier's facilities and records for *surveillance* (see def.), inspection, or *audit* (see def.) by the purchaser, its designated representative, or others authorized by the purchaser. [NQA-1-1997, Requirement 4, 204; DOE/RW-0333P 4.2.1.D]

Documentation Requirements

- 4.1.2.9 The procurement documents shall identify the documentation required to be submitted for information, review, or *approval* (see def.) by the purchaser. The time of submittal shall also be established. [NQA-1-1997, Requirement 4, 205 1s and 205 2s; DOE/RW-0333P 4.2.1.F and 4.2.1.F.1]
- 4.1.2.10 When the purchaser requires the supplier to maintain specific records, the retention times and disposition requirements shall be prescribed. [NQA-1-1997, Requirement 4, 205 3s; DOE/RW-0333P 4.2.1.F.2]

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- 4.1.2.11 All *safety class and safety significant* (see def.) procurements shall include a procurement specification or drawing, as applicable, with or attached to the purchase requisition. Specifications or drawings are also required for items that are for *mission critical* (see def.) *structures, systems, and components* (SSCs; see def.). Catalog part numbers are permissible as specifications for commercial grade products if ordering information is complete. [Company Imposed Requirements; DOE/RW-0333P 4.2.1.B.1]

Nonconformances (see def.)

- 4.1.2.12 The procurement documents shall specify the purchaser's requirements for the supplier's reporting of nonconformances. [NQA-1-1997, Requirement 4, 206]

Spare and Replacement Parts

- 4.1.2.13 The procurement documents shall specify the supplier's requirements to identify spare and replacement parts or assemblies, and the related *data* (see def.) required for ordering these parts and assemblies. [NQA-1-1997, Requirement 4, 207; DOE/RW-0333P 4.2.1.H]

4.1.3 Procurement Document Review and Approval

- 4.1.3.1 A review of the procurement documents, and changes thereto, shall be made and documented prior to award to assure that documents transmitted to prospective supplier(s) include all appropriate technical and QA provisions to assure that items or services will meet the specified requirements. [NQA-1-1997, Requirement 4, 300 1s; DOE/RW-0333P 4.2.2.B and 4.2.2.C]
- 4.1.3.2 Technical or QA program changes made as a result of bid evaluations or negotiations shall be incorporated into the procurement documents prior to their issuance to the supplier. [NQA-1-1997, Requirement 4, 300 2s; DOE/RW-0333P 4.2.3.B 1s]
- 4.1.3.3 Procurement document review shall be performed by personnel who have access to pertinent information and who have an adequate understanding of the requirements and intent of the procurement documents. [NQA-1-1997, Requirement 4, 300 3s; DOE/RW-0333P 4.2.2.D]
- 4.1.3.4 Procurement documents shall be approved. [DOE/RW-0333P 4.2.2.F]

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4.1.4 Procurement Document Changes

- 4.1.4.1 Changes to the scope of work, technical requirements, QA program requirements, *right of access* (see def.), documentation requirements, nonconformances, hold points, and lists of spare and replacement parts delineated in procurement documents shall be subject to the same degree of control as used in the preparation of the original documents. [DOE/RW-0333P 4.2.3.A; NQA-1-1997, Requirement 4, 400]

4.1.5 Records

- 4.1.5.1 All records designated in implementing documents as *quality assurance records* (see def.) shall be controlled in accordance with PRD-5088, 17.1 Quality Assurance Records. [Summary of records requirements from NQA-1-1997, DOE/RW-0333P, and Company Imposed Requirements]

4.2 Specific Requirements for DOE/RW-0333P QARD Revision 10 Applications

This subsection (4.2) contains additional requirements from the QARD (DOE/RW-0333P Revision 10) which are specific to the Spent Nuclear Fuel Program.

4.2.1 Procurement Document Contents

- 4.2.1.1 Tests, inspections, and *acceptance* (see def.) requirements that the purchaser will use to monitor and evaluate the *performance* (see def.) of the supplier shall be specified. [DOE/RW-0333P 4.2.1.B.3]

4.2.2 QA Program Requirements

- 4.2.2.1 QA program requirements shall include the following:
- A. A requirement for the supplier to have a documented QA program that implements the applicable requirements of the *Quality Assurance Requirements and Description* (QARD; see def.) prior to the initiation of work. The extent of the QA program shall depend on the scope, nature, or complexity of the item or service being procured. [DOE/RW-0333P 4.2.1.C.1.1s and 4.2.1.C.1.2s]
 - B. A requirement for the supplier to incorporate the appropriate QARD requirements into any subtier supplier-issued procurement document. [DOE/RW-0333P 4.2.1.C.2]

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4.2.3 Nonconformances

- 4.2.3.1 Procurement documents issued by each *affected organization* (see def.) shall include purchaser requirements for the supplier to report nonconformances and the purchaser approval of the disposition of nonconformances. [DOE/RW-0333P 4.2.1.G]

4.2.4 Procurement Document Review and Approval

- 4.2.4.1 Procurement document reviews shall be performed and documented in accordance with PRD-5077, 6.1 Document Control, prior to issuance of the procurement documents to the supplier. [DOE/RW-0333P 4.2.2.A]
- 4.2.4.2 Procurement document reviewers shall include representatives from the technical and QA organizations. [DOE/RW-0333P 4.2.2.E]

4.2.5 Procurement Document Change

- 4.2.5.1 Evaluation of procurement document changes as a result of proposal/ bid evaluation or negotiations and the resulting impact shall be completed before the contract is awarded. This evaluation shall consider the following [DOE/RW-0333P3 4.2.3.B.2s and 4.2.3.B.3s] :
- A. The appropriate requirements as specified in this section. [DOE/RW-0333P3 4.2.3.B.1]
 - B. Additional or modified design criteria. [DOE/RW-0333P 4.2.3.B.2]
 - C. Analysis of exceptions or changes requested or specified by the supplier and a determination of the impact such changes have on the intent of the procurement documents or quality of the item or service to be furnished. [DOE/RW-0333P 4.2.3.B.3]

5. DEFINITIONS

Refer to LST-199, Definitions, in the QA PRD Manual for the definitions of the following terms:

acceptance

acceptance criteria

affected organization

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*approval**audit**cognizant quality engineer**data**design bases**inspection**item**mission critical (SSCs)**nonconformance**performance**procedure**process**procurement document**purchaser**quality assurance**quality assurance record**Quality Assurance Requirements and Description**right of access**safety class, safety significant**service**structures, systems and components**supplier**surveillance**technical support organization*

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*test***6. REFERENCES**

10 CFR 21, Reporting of Defects and Noncompliance

ASME NQA-1-1997, Quality Assurance Requirements for Nuclear Facility Applications

DOE O 440.1A, Worker Protection Management for DOE Federal and Contractor Employees, March 1998

DOE/RW-0333P, Office of Civilian Radioactive Waste Management, Quality Assurance Requirements and Description , Revision 10

7. APPENDICES

Appendix A, 4.1 Basis

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APPENDIX A**4.1 Basis**

Source	Citation	Requirement	Comments
10 CFR 21, Reporting of Defects and Noncompliance	31	4.1.1.5	Company Imposed Requirement (CIR)
ASME NQA-1-1997, Quality Assurance Requirements for Nuclear Facility Applications, Requirement 4	100 1s	4.1.1.1	Consensus Requirement (CR)
NQA-1-1997, Requirement 4	100 2s	4.1.1.2	CR
NQA-1-1997, Requirement 4	200	4.1.2	CR
NQA-1-1997, Requirement 4	201	4.1.2.1	CR
NQA-1-1997, Requirement 4	202 1s and 202 2s	4.1.2.2	CR
NQA-1-1997, Requirement 4	202 3s	4.1.2.3	CR
NQA-1-1997, Requirement 4	203 1s and 203 2s	4.1.2.4	CR
NQA-1-1997, Requirement 4	203 3s	4.1.2.6	CR
NQA-1-1997, Requirement 4	204	4.1.2.8	CR
NQA-1-1997, Requirement 4	205 1s and 205 2s	4.1.2.9	CR
NQA-1-1997, Requirement 4	205 3s	4.1.2.10	CR
NQA-1-1997, Requirement 4	206	4.1.2.12	CR
NQA-1-1997, Requirement 4	207	4.1.2.13	CR
NQA-1-1997, Requirement 4	300 1s	4.1.3.1	CR
NQA-1-1997, Requirement 4	300 2s	4.1.3.2	CR
NQA-1-1997, Requirement 4	300 3s	4.1.3.3	CR
NQA-1-1997, Requirement 4	400	4.1.4.1	CR
Company Imposed Requirement	N/A	4.1.1.4	CIR
Company Imposed Requirement	N/A	4.1.2.5	CIR
Company Imposed Requirement	N/A	4.1.2.11	CIR
DOE/RW-0333P, Office of Civilian Radioactive Waste Management Program, Quality Assurance Requirements and Description, Revision 10	4.2.1. and	4.1.2	CR
DOE/RW-0333P	4.2.1.A	4.1.2.1	CR
DOE/RW-0333P	4.2.1.B	4.1.2.2	CR
DOE/RW-0333P	4.2.1.B.1	4.1.2.11	CR
DOE/RW-0333P	4.2.1.B.2.1s	4.1.2.2	CR
DOE/RW-0333P	4.2.1.B.2.2s	4.1.2	CR
DOE/RW-0333P	4.2.1.B.3	4.1.2.3	CR
DOE/RW-0333P	4.2.1.B.3	4.2.1.1	Specific Requirement (SR)
DOE/RW-0333P	4.2.1.C	4.1.2.4	CR
DOE/RW-0333P	4.2.1.C.1.1s and	4.2.2.1.A	SR

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APPENDIX A**4.1 Basis**

Source	Citation	Requirement	Comments
	4.2.1.C.1.2s		
DOE/RW-0333P	4.2.1.C.2	4.2.2.1.B	SR
DOE/RW-0333P	4.2.1.C.3.1s and 4.2.1.C.3.2s	4.1.1.3	CR
DOE/RW-0333P	4.2.1.D	4.1.2.8	CR
DOE/RW-0333P	4.2.1.E	4.1.2.7	CR
DOE/RW-0333P	4.2.1.F and 4.2.1.F.1	4.1.2.9	CR
DOE/RW-0333P	4.2.1.F.2	4.1.2.10	CR
DOE/RW-0333P	4.2.1.G	4.2.3.1	SR
DOE/RW-0333P	4.2.1.H	4.1.2.13	CR
DOE/RW-0333P	4.2.2.A	4.2.4.1	SR
DOE/RW-0333P	4.2.2.B and 4.2.2.C	4.1.3.1	CR
DOE/RW-0333P	4.2.2.D	4.1.3.3	CR
DOE/RW-0333P	4.2.2.E	4.2.4.2	SR
DOE/RW-0333P	4.2.2.F	4.1.3.4	CR
DOE/RW-0333P	4.2.3.A	4.1.4.1	CR
DOE/RW-0333P	4.2.3.B.1s	4.1.3.2	CR
DOE/RW-0333P	4.2.3.B.2s and 4.2.3.B.3s	4.2.5.1	SR
DOE/RW-0333P	4.2.3.B.1	4.2.5.1.A	SR
DOE/RW-0333P	4.2.3.B.2	4.2.5.1.B	SR
DOE/RW-0333P	4.2.3.B.3	4.2.5.1.C	SR
PRD-5088, 17.1 Quality Assurance Records	All	4.1.5.1	Summary of records requirements from NQA-1-1997, DOE/RW-0333P, and Company Imposed Requirements